

Responsible Office: CFO, Resource Analysis Division  
Subject: Performance Plan Update & Reporting



## OFFICE OF THE CHIEF FINANCIAL OFFICER

### Office Work Instruction

# **PERFORMANCE PLAN UPDATE & REPORTING**

Approved by:  
Arnold G. Holz  
Chief Financial Officer

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## DOCUMENT HISTORY LOG

<u>Status</u> <u>(Baseline/</u> <u>Revision/</u> <u>Canceled)</u>	<u>Document</u> <u>Revision</u>	<u>Effective</u> <u>Date</u>	<u>Description</u>
Baseline		1/7/00	

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**1.0 Purpose:** Document the process for developing a Revised Final Annual Performance Plan and monitoring and reporting performance in the Annual Performance Report to comply with the Government Performance and Results Act.

## **2.0 Scope and Applicability**

**2.1 SCOPE** Includes 1) the development of a Revised Final Performance Plan, 2) execution of oversight on performance, and 3) preparation and approval of the Annual Performance Report.

**2.2 APPLICABILITY** Applies to all employees of the Resources Analysis Division of the Office of the Chief Financial Officer.

## **3.0 Definitions**

CFO – Chief Financial Officer

GPRA – Government Performance and Results Act

NAC – NASA Advisory Council

NASA Program – all activities and functions performed by the agency

PMC – Program Management Council

SMC – Senior Management Council

## **4.0 Reference**

Annual Departments of Veterans Affairs and Housing and Urban

Development, and Independent Agencies Appropriations Act

Government Performance and Results Act

OMB Circular A-11, Part 2

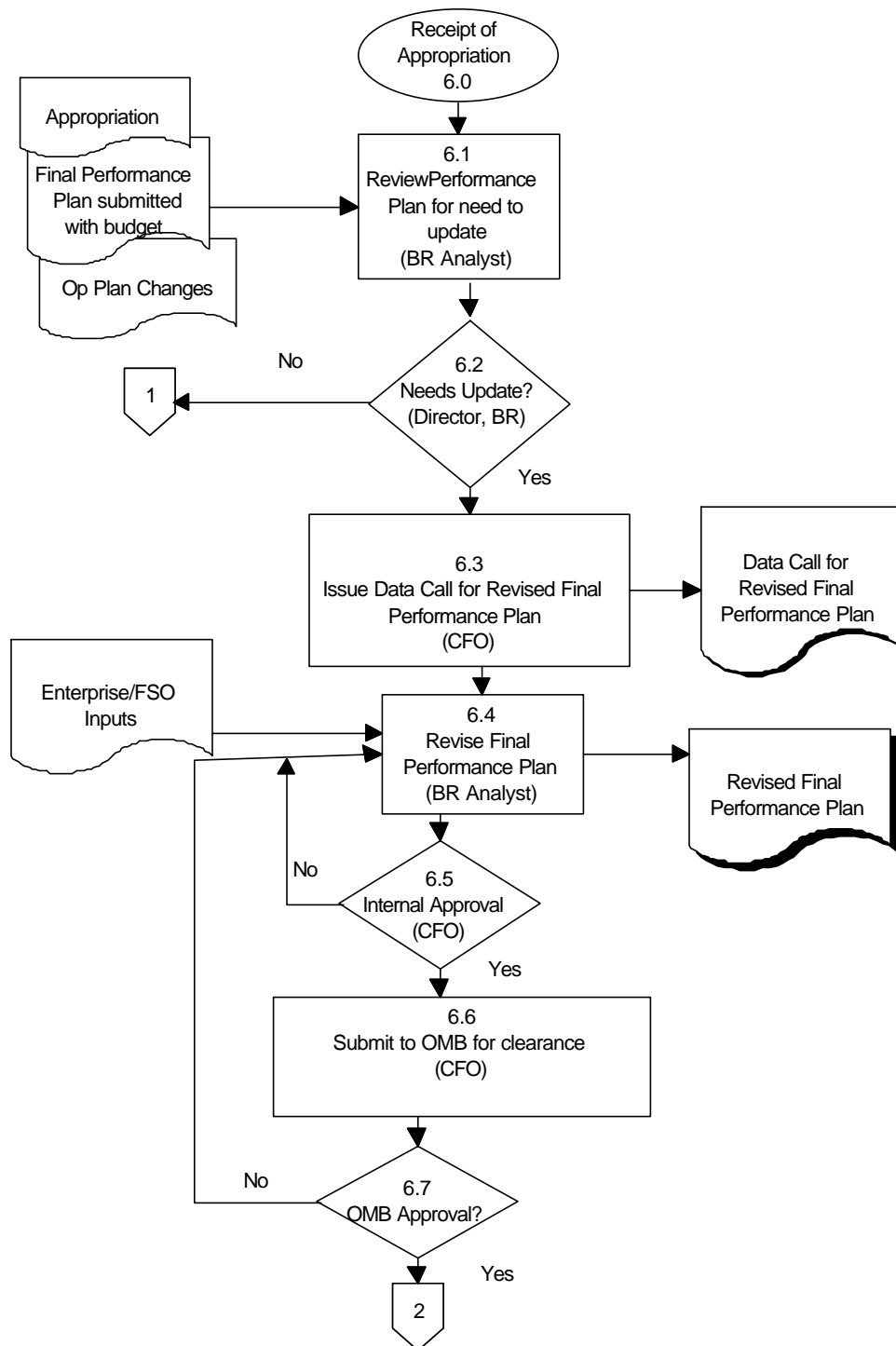
NASA Strategic Plan

NASA Performance Plan FYXXXX

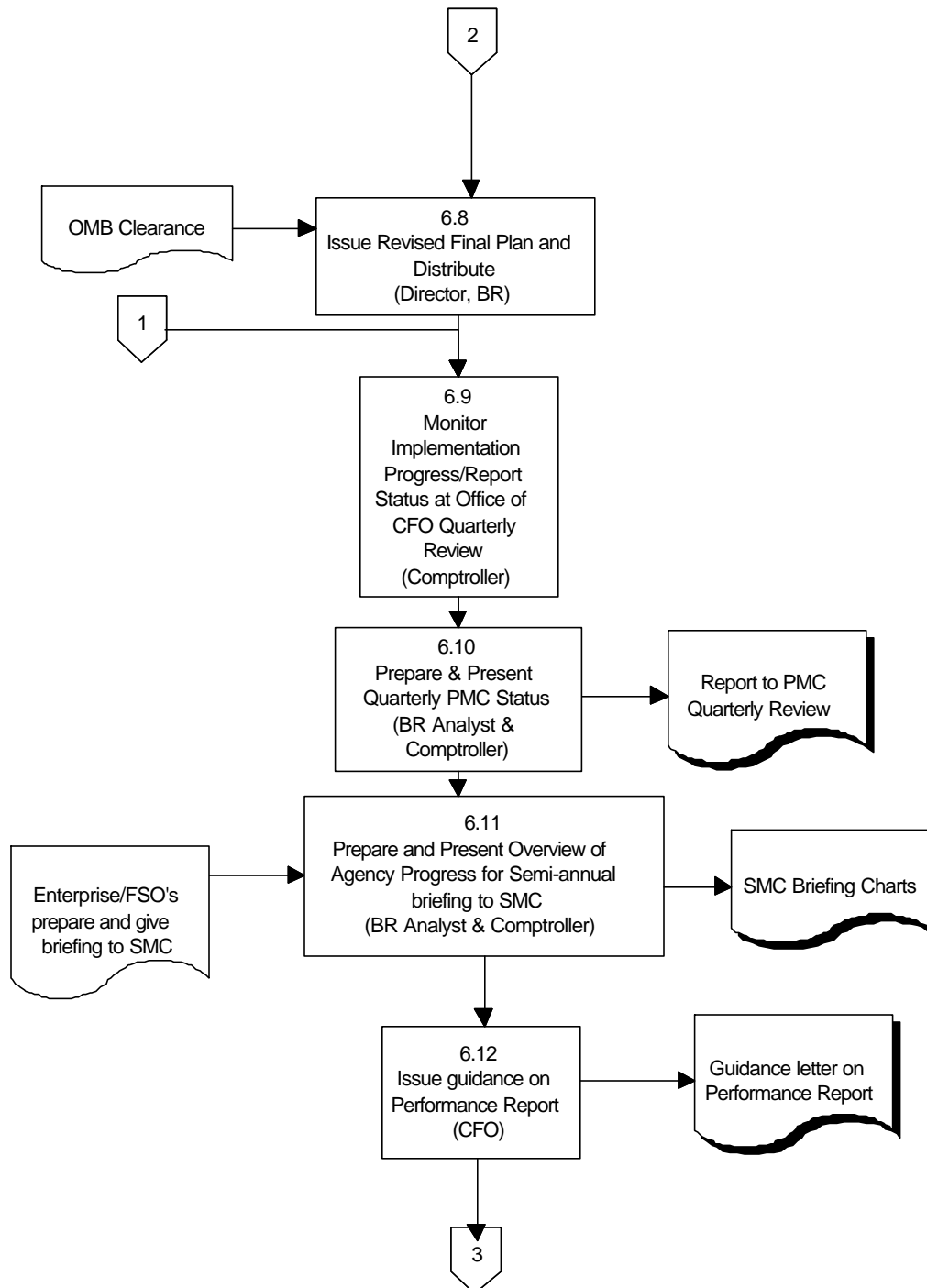
NASA Strategic Management Handbook

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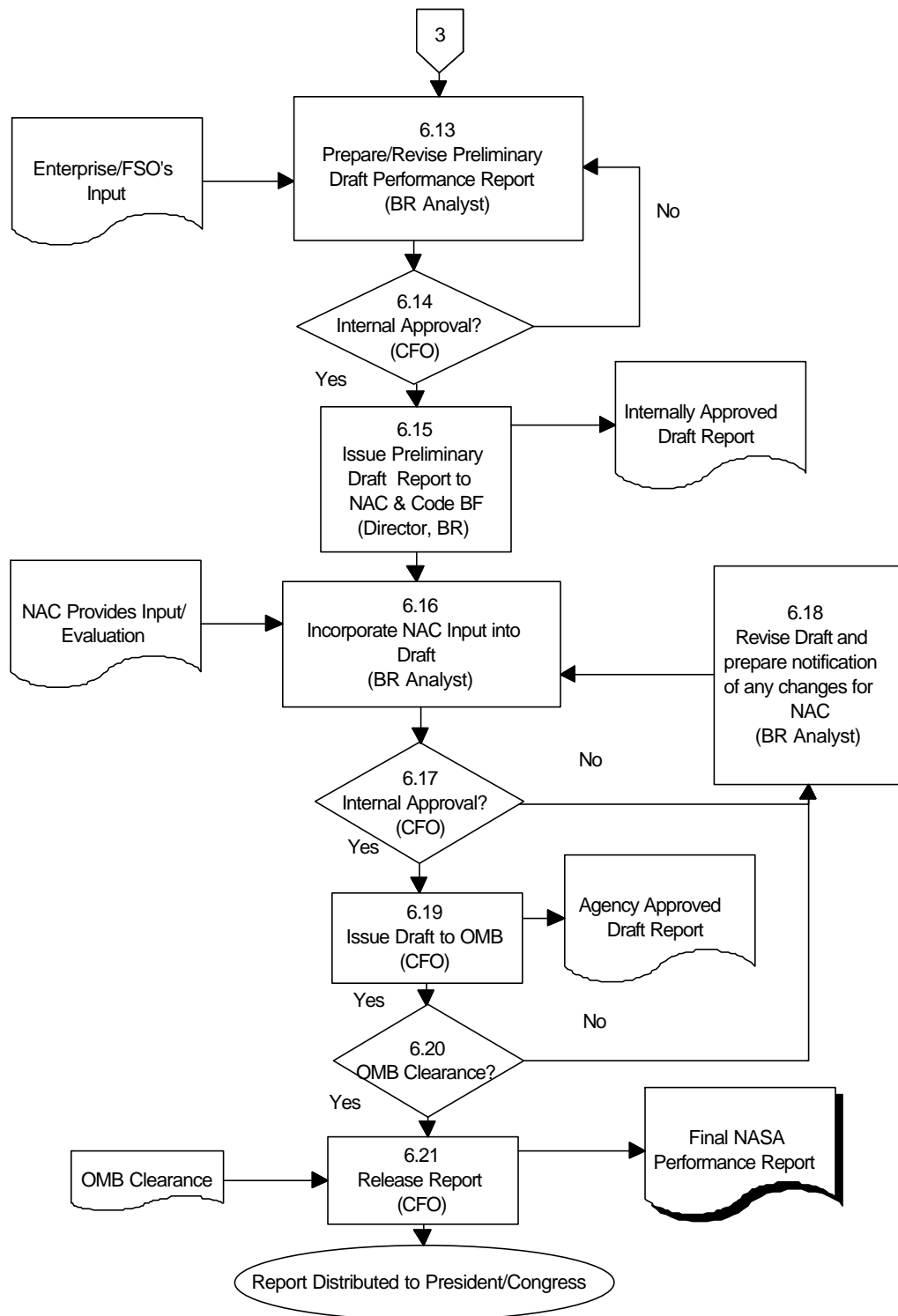
## 5.0 FLOWCHART



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## 6. Procedure

Step	Actionee	Action
6.0		Receipt of Appropriation
6.1	BR Analyst	Review Final Performance Plan that was submitted with the President's Budget for need to update as a result of Appropriation, Operating Plan Change, or unforeseen occurrences in the NASA program.
6.2	Director, BR	Determine whether the Plan needs to be changed, based on the review in step 6.1.
6.3	CFO	Issue Data Call for inputs for Revised Final Performance Plan. Outputs of the review in 6.1 will be documented in this data call.
6.4	BR Analyst	Incorporate any changes provided by Enterprises or Crosscutting Functions into a Revised Final Performance Plan that supports the execution of the annual budget. Version control will be managed throughout the process by use of tracking in the software programs.
6.5	CFO	Obtain internal clearances of the revised plan. The approval may be documented via a transmittal memo prepared for OMB.
6.6	CFO	Submit the Revised Final Plan to OMB
6.7		Receive OMB Clearance or desired changes
6.8	Director, BR	Make revisions required by OMB and issue the Revised Final Plan
6.9	Comptroller	Monitor the implementation of the programs and review performance progress against the Revised Final Performance Plan through BR attendance of Enterprise reviews and preparation of status briefing materials for the Office of the Chief Financial Officer's Quarterly Reviews as scheduled in a Code B Quarterly Review Memo (example in Appendix A).
6.10	BR Analyst & Comptroller	Prepare and present a summary performance status reprising Enterprise progress to the PMC Quarterly Status Review
6.11	BR Analyst & Comptroller	Integrate performance progress and prepare presentation of an overview of Agency progress against the annual targets for the semi-annual briefing to the SMC
6.12	CFO	Issue guidance to the Enterprises and Crosscutting Process Owners on the preparation of the annual performance report based on OMB Circular A-11 and current issues raised by internal and external customers

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6.13	BR Analyst	Receive and integrate the Enterprise performance data into a preliminary draft performance report.
6.14	CFO	Obtain internal approval of the preliminary draft. Approval may be documented in a transmittal memo, email, or telephone log.
6.15	Director, BR	Issue the preliminary draft report to the NAC and to the Financial Management Division of the Office of the Chief Financial Officer (BF). Version control will be utilized via the applicable word processing software.
6.16	BR Analyst	Receive and incorporate the independent evaluation of the NAC into the draft and submit the draft for internal approval. Version control will be utilized via the applicable word processing software.
6.17	CFO	Obtain internal approval. Approval may be documented in a transmittal memo.
6.18	BR Analyst	In the event of desired changes, revise the preliminary draft and prepare notification to advise the NAC of any changes.
6.19	CFO	Issue the draft report to OMB
6.20		Obtain OMB clearance, if OMB desires changes, follow revision and approval steps 6.18, 6.17, and 6.19 for resubmission process
6.21	CFO	Release the report to the President, Congress, and the general public.

## 7. Quality Records

Record Identification	Owner	Location	Record Media: Electronic or Hard Copy	Schedule Number and Item Number (NPG 1441.1)	Retention/Disposition
Data Call for Revised Final Performance Plan	BR	8A Files	Hard Copy	Schedule 9, item 2C	Destroy when superceded, no longer needed, or when 5 years old, whichever is sooner.
Revised Final Performance Plan	BR	Code B Library	Hard Copy	Schedule 9, item 2	Permanent, transfer to NARA when 35 years old
Report to PMC Quarterly Review	BR	8A Files	Hard Copy	Schedule 9, item 2C	Destroy when superceded, no longer needed, or when 5 years old, whichever is sooner.
SMC Performance Briefing Charts	BR	8A Files	Hard Copy	Schedule 9, item 2C	Destroy when superceded, no longer needed, or when 5 years old, whichever is sooner.
Guidance Letter on Performance Reports	BR	8A Files	Hard Copy	Schedule 9, item 2C	Destroy when superceded, no longer needed, or when 5 years old, whichever is sooner.
Final NASA Performance Report	BR	Code B Library	Hard Copy	Schedule 9, item 2	Permanent, transfer to NARA when 35 years old



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## APPENDIX A

(electronic copy of 12/8/99 memo BR Director to Distribution on CFO Quarterly Reviews Offered as an example of monitoring/input for flow chart item 6.9)

To: Distribution

From: Director, Resources Analysis Division

Subject: Quarterly Reviews

As you all know, the Office of the Chief Financial Officer (CFO) has reinstituted a Quarterly Review (QR) process. The purpose is to review the Agency's budgetary and financial status, as well as the progress being made on Performance Plan commitments. The review typically encompasses the following: obligations, costs, uncoded, program highlights and status and performance metrics. Budget and performance data reviewed and collected will be used for, and made available to, the PMC (quarterly) and SMC as appropriate.

Each Enterprise and Functional Staff is invited to attend. A QR provides you an opportunity to address issues, concerns, and highlights of your programs to the CFO.

We are establishing a two-day schedule for the remainder of the fiscal year. The reviews are scheduled for the following dates:

Feb 10/11	8:30-12:30; 12:30-4:30
Apr 27/28	8:30-12:30; 12:30-4:30
Jul 13/14	8:30-12:30; 12:30-4:30
Nov 8/9	8:30-12:30; 12:30-4:30

The schedule has been synchronized with the QPSRs and adjusted for the "Budget Process Schedule."

Thanks for your cooperation and please let Mary Anne Fitzgerald know if you have any suggestions or changes that need to be made. She can be reached on ext: 2510.

Richard M. Brozen

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cc: B/A. Holz  
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